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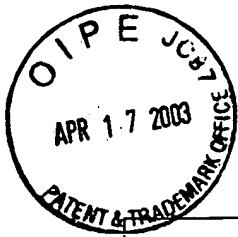
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/051,830
	Filing Date	January 16, 2002
	First Named Inventor	Xinhui NIU
	Group Art Unit	2121
	Examiner Name	To Be Assigned
Total Number Of Pages In This Submission	10 + 10 Refs.	Attorney Docket No. 509982001200

ENCLOSURES (check all that apply)		
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SIGNATURE OF APPLICANT, ATTORNEY OR AGENT	
Firm or Individual Name	Peter J. Yim (Reg. No. 44,417) Morrison & Foerster LLP 425 Market Street San Francisco, California 94105-2482
Signature	
Date	April 11, 2003

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"
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PATENT
Docket No. 509982001200

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Janet Hollrah
Janet Hollrah

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Xinhui NIU and Nickhil JAKATDAR

Serial No.: 10/051,830

Filing Date: January 16, 2002

For: GENERATING A LIBRARY OF
SIMULATED-DIFFRACTION
SIGNALS AND HYPOTHETICAL
PROFILES OF PERIODIC GRATINGS

Examiner: To Be Assigned

Group Art Unit: 2121

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INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

The documents listed on the attached Form PTO-1449 were cited in a Search Report dated March 28, 2003 (copy attached), directed to a counterpart international or foreign application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

I hereby certify that each item of information was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.


Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 509982001200. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: April 11, 2003

Respectfully submitted,

By: 

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Form PTO-1449

INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 509982001200

Application Number 10/051,830

Applicant

Xinhui NIU and Nickhil JAKATDAR

Filing Date January 16, 2002

Group Art Unit 2121

Mailing Date April 11, 2003

U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	4/23/1985	4,513,384	Rozencwaig			
	2.	12/19/1995	5,477,363	Matsuda			
	3.	12/23/1997	5,701,013	Hsia et al.			
	4.	1/23/2001	6,177,680 B1	Dick et al.			
	5.	1/18/2002	6,407,396 B1	Mih et al.			
	6.	11/12/2002	6,479,166 B1	Heuer et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	7.	R. T. Chen et al., "Si-Based Surface-Relief Polygonal Gratings for 1-to-Many Wafer Scale Optical Clock Signal Distribution", IEEE Photonics Technology Letters, vol. 8, no. 8, August 1996, pp. 1038-1040.
	8.	T. Khayim et al., "Ultrafast Unidirectional Deflection by Electrooptic Traveling Phase Grating Using Periodic Domain Inversion", IEEE, CLEO/Pacific Rim '99/Th03, 1999, pp. 726-727.
	9.	S. Pelissier et al., "Fabrication of Buried Corrugated Waveguides by Wafer Direct Bonding", IEEE J. of Lightwave Tech. vol. 18, no. 4, April 2000.
	10.	B. Pezeshki et al., "400-mW Single-Frequency 660-nm Semiconductor Laser", IEEE Photonics Tech. Letters, vol. 11, no. 7, July 1999, pp. 791-793.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.